<center>**PROJECT SUMMARY**</center>

All applicants must complete a project summary. Do not exceed the two pages allotted (use only one side per page) and do not refer to "see inside" or "see attached," except in the case of references to vitae and similar supporting information found elsewhere in the application.

## 1.  PURPOSE AND GOALS OF THE PROJECT

Six partners from Arizona government have established the Arizona Electronic Records Research Initiative (Initiative).  The purpose of this collaborative project is to investigate the management of electronic records through their entire life cycle.  The proposed project is the first of several anticipated projects to fully develop and test policies, procedures and methodologies to ensure reliability and authenticity of the records.  This project's goals are to:

1.  Test data conversion and migration of documents to a standard format that can be read by a platform-independent viewer.
2.  Establish policies and procedures to ensure the authenticity of the electronic records through their life cycles.
3.  Establish techniques to ensure the authenticity of the electronic records.
4.  Identify the resources that are necessary to enable the agencies implement these policies and procedures.

## 2.  SIGNIFICANCE AND RELATIONSHIP TO NHPRC GOALS AND OBJECTIVES

The project relates directly to the NHPRC's goal to enable the nation's archivists, records managers and documentary editors to overcome obstacles to and take advantage of the opportunities posed by electronic technologies.  It addresses several of the questions included on the agenda in the Commission's *Research Issues in Electronic Records*

1.  The technological, conceptual, and economic implications of capturing and retaining data, descriptive information, and contextual information in electronic form from a variety of applications (Question 2)
2.  Techniques to retain software-dependent data objects for future use (Question 3)
3.  The policies that address archival concerns for the identification, retention, preservation, and research use of electronic records (Question 6)

The project seeks to address these issues:

1.  *Preservation of Meaning:* Without the appropriate hardware and software, the record may be unreadable.  Preservation efforts must protect and retain the contextual information needed to convey the meaning of the information in the electronic record.

2.  *Preservation of Trustworthiness and Reliability:* Records need to be accepted as authentic and unaltered documents.  While techniques have been developed to sign or encrypt electronic documents [in order] to ensure their authenticity, those techniques are not widely used by records creators.  Further, keys to access signed or encrypted documents must also be protected.

## 3.  PLAN OF WORK FOR THE GRANT PERIOD (including references to techniques)

1.  *Project Startup and Oversight:* Archivists and records managers will gain expertise in information technology, and information technologists will become familiar with archival principles.  The team will accomplish this in three ways: 1) reviewing existing literature, 2) attending a workshop on electronic records taught by an expert in electronic archives, and 3) establishing an advisory board to ensure that this project is informed by and cooperates with other major research initiatives and to refine proposed techniques and the research agenda in light of those projects.  The initial meeting of the board will be held at the beginning of the grant period.  Regular project management team meetings and posting. quarterly progress reports on the Web to apprise other researchers of the project's work.
2.  *Initial Development of Standard File Format:* Participating agencies will use a relatively small set of data to permit an iterative process of development, evaluation and revision.  They will seek to establish non-proprietary methods to standardize electronic records in various forms into common groups.  These groups will maintain the records' integrity while reducing the variations in software format.
3.  *Mid-Project Evaluation:* At this point, the management team will meet with advisory board members to review work done and refine the final year of development.

4. *Test of a Standard File Format:* XML schema, DTDs, and the benefits of open standards will be further tested by simulating transfer of records from a server in the agency of origin to another server running a different operating system and XML server software

5. *Evaluation:* Seven state library agencies with responsibility for records programs have agreed to help evaluate the tools to ensure that they will be useful outside of Arizona. Their representatives will visit Phoenix during the last quarter of the project for two days' testing.

6. *Documentation of Policies and Procedures:* ASLAPR staff will document procedures as they are developed to ensure that the integrity of the records is not compromised.

## 4. PRODUCTS AND PUBLICATIONS TO BE COMPLETED DURING THE GRANT PERIOD

Reports and documents that result from this project will be published on the Web and will include
   * Quarterly progress reports on the web
   * A final report on the web
   * A policy and procedures manual and methodology

Products produced will include:
   * Tools and practices to convert word processing documents to PDF format
   * Tools and practices to create XML containers and documents
   * Tools and practices to create electronic signatures on XML documents
   * Conversion tools and practices to "refresh" signed electronic documents

## 5. KEY PERSONNEL

Project Director: Russ Savage
E-mail: RSavage@mail.sosaz.com
Telephone number: (602) 418-3094
Address: Secretary of State / 1700 W. Washington #7 / Phoenix AZ 85007

Project Managers
   Maureen Haggerty, Arizona Administrative Office of the Courts
   David Hoober, Arizona State Library, Archives and Public Records
   Richard Pearce-Moses, Arizona State Library, Archives and Public Records
   Martin Richelsoph, Arizona State Library, Archives and Public Records
   Jeremy Rowe, Arizona State University
   Michael Totherow, Arizona Office of Secretary of State
   GladysAnn Wells, Arizona State Library, Archives and Public Records

Electronic Records Workshop Instructor
   Tom Ruller, New York State Archives and Records Administration

Advisory Board
   Anne Gilliland-Swetland, Assistant Professor, Dept. of Information Studies, University of California, Los Angeles
   Eliot Christian, United States Geological Survey
   Phil Coombs, State Archivist, Washington State
   Shawn Rounds, Government Records Specialist, Minnesota State Archives, Minnesota Historical Society
   Judy Walker, Electronic Records Archivist, Ohio Historical Society

State Libraries Participating in the Evaluation Process
   Alaska State Library, Archives and Museums
   Connecticut State Library
   Florida Division of Library and Information Services
   Kentucky Department for Libraries and Archives
   Rhode Island Office of Library and Information Services
   Texas State Library and Archives Commission
   Library of Virginia